

Regulations of Connecticut State Agencies

TITLE 31. Labor

Agency

Department of Labor

Subject

Personal Data

Inclusive Sections

§§ 31-250-1—31-250-12

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Personal Data

Sec. 31-250-1. Personal data definitions

(a) The following definitions shall apply to these regulations:

(1) “Category of Personal Data” means the classifications of personal information set forth in Personal Data Act, Section 4-190 (9) of the Connecticut General Statutes.

(2) “Other data” means any information which, because of name, identifying number, mark or description can be readily associated with a particular person.

(b) Terms defined in Section 4-190 of the Connecticut General Statutes shall apply to these regulations.

(Effective July 1, 1988)

Sec. 31-250-2. General nature and purpose of personal data systems

(a) **Job Service: Employment Applications**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Employment Applications Records

(B) Location of System:

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT. 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

(i) Retrieval of applicants for placement, enrollment in programs or job development

(ii) Labor Market Information (Research Department)

(iii) Demographic planning of programs.

(iv) Reporting—State and Federal purposes

(E) Title and Address of Official Responsible for the System of Records and to Whom Requests for Disclosure or Amendment of the Records in the System should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Routine sources of data are the Job Service registrants, Job Service intake interviewers, and other agencies, such as public welfare and rehabilitation facilities.

(G) Legal Authority:

Wagner-Peyser Act (29 U.S.C. 49 *et seq.*)

(2) Categories of Personal Data:

(A) Categories of personal data:

(i) Employment/business history

(ii) Educational/training courses

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- (iii) Characteristics including physical disability, veteran
- (iv) Finances
- (v) Work desired
- (vi) Licenses held
- (vii) Barriers to employment (lack of transportation, child care, occupational skills)
- (viii) Number in family
- (ix) Dates of Visits
- (x) Record of Services
- (xi) Occupational Code and Title
- (B) Categories of Other Data:
 - (i) Name
 - (ii) Social Security Number
 - (iii) Address
 - (iv) Telephone Number
 - (v) Sex
 - (vi) Birthdate
 - (vii) U.S. Citizen
 - (viii) Race/Ethnic Group
- (C) Categories of persons for whom records are maintained: All applicants for services
- (3) Uses to be Made of Personal Data:
 - (A) Routine Use of Records:
 - (i) Referral to employment or enrollment in programs in vocational training programs. To this end, selected data may be shared with employers and/or other agencies.
 - (ii) Statistical summaries
 - (iii) Local office follow-up services
 - (iv) The Unemployment Compensation Department is provided information which may be pertinent to the eligibility of claimants for Unemployment Compensation.
 - (v) Service Delivery Areas (SDAs) are provided lists of potential applicants for programs, sponsored by the Job Training Partnership Act.
 - (B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.
- (b) **Job Service: Job Orders**
 - (1) General Nature and Purpose of Personal Data System:
 - (A) Name of System:

Job Service Job Order Records
 - (B) Location of System:

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Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

(i) Retrieval of information for referral and enrollment of applicants

(ii) Compilation of statistics for Labor Market Information

(E) Title and Address of Official Responsible for the System of Records and to Whom

Requests for Disclosure or Amendment of Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

(i) Employers and employer representatives

(ii) Job Service interviewers

(iii) Unemployment Compensation employer records are accessed to verify employer tax registration numbers

(G) Legal Authority:

Wagner-Peyser Act (29 U.S.C. 49 *et seq.*)

(2) Categories of Personal Data:

(A) Categories of Personal Data:

(i) Occupational and Standard Industrial (SIC) codes

(ii) Rate of pay

(iii) Job requirements

(iv) Characteristics of job

(v) Dates of order, referrals and results

(vi) Referral instructions

(B) Categories of Other Data:

(i) Employer name

(ii) Employer address

(iii) Representative's name

(iv) Telephone Number

(v) Connecticut Unemployment Compensation Employer Registration Number

(vi) Names of applicants referred/hired

(vii) Reasons applicant not hired

(C) Categories of persons for whom records are maintained: Employer/representative to whom referrals are made and the applicants referred to jobs.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Referral of applicants to employer, including any job development efforts.

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- (ii) Statistics are compiled for Labor Market Information.
- (iii) Investigation of client complaints.
- (iv) Information is sent to the Unemployment Compensation Department regarding referrals of claimants.

(v) Job vacancies which are difficult to fill are directed to Interstate Clearance for exposure in other states.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(c) **Job Service: Complaints from Agency Clients and Job Service Staff**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Records of Complaints from Agency Clients and Job Service Staff.

(B) Location of System:

Connecticut State Labor Department
200 Folly Brook Boulevard
Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) Purpose:

- (i) Settle discrimination complaints from registered applicants.
- (ii) Monitor Job Service staff and records to ensure nondiscrimination of services to clients.

(iii) Resolve complaints of one agency employee regarding another agency employee.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service
200 Folly Brook Boulevard
Wethersfield, CT 06109

(F) Routine Sources of Data:

Complainant, Job Service Job Orders, local office staff, health care providers and witnesses to any incident in dispute, if applicable.

(G) Legal Authority:

Presidential Executive Order 11246, amended by 11375; Titles VI and VII of the 1964 Civil Rights Act; Connecticut General Statutes, Sections 4-61u, 4-61w, 4-114 (a), 17-206j; 46a-60 (8), 46a-68, 46a-75, 46a-78, 46a-99, and Connecticut Executive Orders 3, 11 and 17.

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(2) Categories of Personal Data:

(A) Categories of personal data:

- (i) History of physical/mental condition
- (ii) Employer's history with Job Service
- (iii) Characteristics at issue (age, religion, race/ethnic group, handicap)
- (iv) Statement(s) from witnesses
- (v) Supervisory records
- (vi) Complainant's statements
- (vii) Date of complaint

(B) Categories of Other Data:

- (i) Name
- (ii) Social Security Number
- (iii) Address
- (iv) Telephone Number
- (v) Employer name
- (vi) Employer address
- (vii) Employer telephone number

(C) Categories of persons for whom records are maintained: Complainants, health care providers and the employers.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Resolutions are shared with the Agency's Personnel Administrator, Affirmative Action Designee and the Job Service Director.

(ii) The Federal Office of Civil Rights and the Equal Employment Opportunity Commission receive verbal information when requested.

(iii) A statement of the final determination is provided to the complainant and respondent.

(iv) When deficiencies are discovered, the appropriate agency is notified (OSHA, Health Department, etc.).

(v) Information is summarized into a log for reporting purposes.

(vi) Reports are filed with the local Job Service office manager and the Job Service Director regarding violations requiring corrective action.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.S.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(d) **Job Service: Trade Adjustment Assistance**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

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Trade Adjustment Assistance Records

(B) Location of System:

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) Purpose:

To provide assistance to workers who lose their jobs as the result of increased foreign import competition.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Routine sources of data are the applicants for assistance, past employers, local office personnel records, unemployment compensation records, training facilities, the U.S. Department of Labor and the Trade Act Certification Unit.

(G) Legal Authority:

Trade Act of 1974, 29 CFR Part 91, Public Law 93-618, as amended by P.L. 97-35, P.L. 98-120 and P.L. 99-272.

(2) Categories of Personal Data:

(A) Categories of Personal Data:

(i) Employment history

(ii) Vocational goals

(iii) Education

(B) Categories of Other Data:

(i) Name

(ii) Address

(iii) Social Security Number

(iv) Telephone Number

(v) Sex

(vi) Name and address of employer entering into on-the-job training contract

(vii) Name and title of employer's designee responsible for administering on-the-job training contract

(viii) Course name, cost, hours and duration

(C) Categories of persons for whom records are maintained: Applicants for Trade Adjustment Assistance.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

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(i) Records are used to determine the applicant's eligibility for benefits and services, including job referral and placement, job search and relocation allowances and referral to training.

(ii) Information is provided to the Unemployment Compensation Department for the determination of eligibility for Trade Readjustment Allowances.

(iii) Statistics are supplied for federal reports.

(iv) Referral to institutional and on-the-job training programs.

(v) Follow-up is done after completion of training to offer job search assistance.

(B) Retention Schedule:

Records are currently retained until disposition of pending federal litigation. Once such litigation is resolved, records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(e) **Job Service: Federal Bonding Program**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Federal Bonding Program Records

(B) Location of System:

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) Purpose:

The purpose is to provide fidelity bonding to those people unable to be bonded by commercial means, in order to obtain employment.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Applicants, prospective employers, and local office interviewers.

(G) Legal Authority:

Wagner-Peyser Act (29 U.S.C. 49 *et. seq.*)

(2) Categories of Personal Data:

(A) Categories of Personal Data:

(i) Amount of bond

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- (ii) Occupational title of job
- (iii) Date terminated employment

(B) Categories of Other Data:

- (i) Name
- (ii) Social Security Number
- (iii) Address
- (iv) Name of Employer
- (v) Address of Employer
- (vi) Name of Bonding Coordinator

(C) Categories of persons for whom records are maintained:

Records are maintained regarding individuals for whom bonding was provided.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

- (i) Records are used to verify continuity of employment for which bond was issued.
- (ii) Upon separation from employment, records are used to request termination of bond.
- (iii) Bond request is submitted to the McLaughlin Insurance Company in Washington,

D.C.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(f) **Job Service: Alien Employment Certification**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Alien Employment Certification Records

(B) Location of System:

Copies of the application are retained at:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

Originals are retained at:

U. S. Department of Labor

John F. Kennedy Building

Boston, Massachusetts 02203

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

To insure that there are no U. S. workers able, qualified and willing to fill a position for

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which an employer seeks to hire an alien, and that the employment of the alien will not have an adverse affect on the wages and working conditions of U. S. workers similarly employed.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Aliens, workers, prospective employers, agents or attorneys and unemployment compensation employer records.

(G) Legal Authority:

Section 212A, Immigration and Nationality Act, 20 CFR, Part 656

(2) Categories of Personal Data:

(A) Categories of Personal Data:

(i) Employment history

(ii) Education

(iii) Licenses or degrees

(iv) References from past employers

(v) Nature of employer's business

(vi) Prevailing wages of similar jobs

(vii) Other data retained in job orders, in accordance with subdivision (2) of subsection (b) of this section.

(B) Categories of Other Data:

(i) Name of Alien

(ii) Address of Alien

(iii) Birthplace and nationality

(iv) Alien's birthdate

(v) Type of visa

(vi) Name of Employer

(vii) Address of employer

(viii) Telephone number

(ix) Requirements for job

(x) Working conditions and duties

(xi) Number of openings

(xii) Housing description, if applicable

(C) Categories of persons for whom records are maintained:

Aliens, their prospective employers and employers responding to wage surveys.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Job orders are written based on information supplied on the application in an attempt

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to recruit U. S. workers.

(ii) Records are checked against employer files to ensure that the employer is paying unemployment compensation taxes and that the job offer is valid. Copies of applications for employers without unemployment compensation tax numbers are routed to the Employer Status Unit.

(iii) Names and addresses of the aliens and their employers are forwarded to the Immigration and Naturalization Service, in compliance with Section 31-51k of the General Statutes.

(iv) The job requirements are restated in the form of a wage survey and mailed to employers with similar occupations in an attempt to determine a prevailing wage.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(g) **Job Service: Veterans' Workshops**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Veteran's Workshop Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

To offer employability assistance to veterans who meet pre-established criteria.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Veteran, Job Service interviewers and prospective employer.

(G) Legal Authority:

Title IV-C of the Job Training Partnership Act (29 U.S.C. 1721)

(2) Categories of Personal Data:

(A) Categories of Personal Data:

(i) Employment history

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- (ii) Education
- (iii) Military Status
- (iv) Personal data collected under subsection (a) of this section
- (B) Categories of Other Data:
 - (i) Names of veterans attending workshops
 - (ii) Social Security Number
 - (iii) Address of veteran
 - (iv) Comments on workshops
 - (v) Other data collected under subsection (a) of this section
- (C) Categories of persons for whom records are maintained:
Unemployed Vietnam-Era, Korean and/or disabled veterans.
- (3) Uses to be Made of Personal Data:
 - (A) Routine Use of Records:
 - (i) To assist Veterans in finding employment
 - (ii) To document amount of grant money spent
 - (iii) Statistics are compiled from records and submitted to the U. S. Department of Labor.
 - (iv) Follow-up is conducted to determine the number of participants who obtained employment within 90 days of attending the workshop.
 - (B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

- (h) **Job Service: Work Incentive Program (WIN), also known as the Job Connection**
 - (1) General Nature and Purpose of Personal Data System:
 - (A) Name of System:
Work Incentive Program (WIN) Records
 - (B) Location of System:
Connecticut Labor Department
200 Folly Brook Boulevard
Wethersfield, CT 06109
 - (C) Automated, Manual or Combination:
Combination
 - (D) Purpose:
 - (i) To provide services to AFDC registrants leading to full-time employment.
 - (ii) To supply statistics for planning needed programs.
 - (E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:
Director, Connecticut Job Service

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200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Clients, WIN interviewers, staff from the Departments of Human Resources and Income Maintenance, program operators, employers and training facility personnel.

(G) Legal Authority:

Federal Regulations at Title IV-C, Section 445 of the Social Security Act.

(2) Categories of Personal Data:

(A) Categories of Personal Data

(i) Appraisal for services

(ii) Home situation

(iii) Health benefits

(iv) Food Stamp receipt

(v) Personal data collected under subsection (a) of this section

(B) Categories of Other Data:

(i) Welfare case number

(ii) Name of training facility/employer

(iii) Conditions of training

(iv) Other data collected under subsection (a) of this section

(C) Categories of persons for whom records are maintained:

AFDC registrants/recipients and training contractors.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Records are shared with the Departments of Income Maintenance and Human Resources personnel for providing services continually through the various job-readiness stages.

(ii) Statistics are compiled for state and federal purposes.

(iii) Other state agencies require data for program planning.

(iv) Annually records are cross-checked against Income Maintenance records to determine percentages of former clients receiving public welfare benefits.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(i) **Job Service: Targeted Jobs Tax Credit (TJTC)**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Targeted Jobs Tax Credit (TJTC) Records

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(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

To provide employers a financial incentive to hire workers from certain targeted groups.

(E) Title and Address of Official Responsible for the System of Records and To Whom

Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Applicants, employers, employer representatives, Veterans Administration, public welfare, agencies, Department of Correction, schools and Division of Vocational Rehabilitation.

(G) Legal Authority:

Revenue Act of 1978, Tax Equity and Fiscal Responsibility Act of 1982.

(2) Categories of Personal Data:

(A) Categories of Personal Data

(i) Employment/Business History

(ii) Characteristics (handicapped, veteran, welfare, felon, education)

(iii) Finances

(iv) Number in family

(v) Start to work date

(vi) Starting Wage

(vii) Job Title

(B) Categories of Other Data:

(i) Name

(ii) Address

(iii) Social Security Number

(iv) Name of firm

(v) Employer's representative name & title

(vi) Employer's address

(vii) Employer's telephone number

(viii) IRS number

(ix) Initiating agency

(x) Interviewer's name and signature

(xi) Local office name and address

(C) Categories of persons for whom records are maintained:

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Applicants for vouchers and employers seeking the tax credit.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Determining the eligibility of workers for vouchers.

(ii) Determining employer eligibility for Certification.

(iii) Statistics are compiled regarding the number of vouchers and certifications issued as well as specific data relating to the target group characteristics for state and federal use.

(iv) Reviews and audits to ensure compliance with federal regulations.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(j) **Job Service: Testing—Aptitude and Proficiency**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Testing—Aptitude and Proficiency Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) Purpose:

To make referrals based on aptitude to apprenticeship programs or entry-level positions.

(E) Title and Address of Official Responsible for the System of Records and To Whom

Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Routine sources are candidates for jobs/apprenticeships and the scorer.

(G) Legal Authority:

Wagner-Peyser Act (29 U.S.C. 49 *et. seq.*)

(2) Categories of personal data:

(A) Categories of personal data

(i) Raw test score

(ii) Converted test score

(iii) Personal data collected under subsection (a) of this section, if appropriate

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(B) Categories of Other Data:

- (i) Name of candidate
- (ii) Address of candidate
- (iii) Name and address of apprenticeship committee
- (iv) Personal data collected under subsection (a) of this section, if appropriate

(C) Categories of persons for whom records are maintained:

Individuals tested and the apprenticeship committee.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records:

(i) Scores are reported to joint apprenticeship committees for use in their selection of candidates for apprenticeship programs.

(ii) Job Service applicants who are tested by the Standard Aptitude are given referrals to employers who have requested certain skills or aptitudes.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(k) Job Training Partnership Act (JTPA) Administration

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Job Training Application Records

(B) Location of System:

Automated Records:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

Manual Records:

Local Service Delivery Area administrative offices.

(C) Automated, Manual or Combination:

Combination - automated aggregate records are maintained centrally. Individual records are maintained locally. Requests for individual information will be routed to responsible local entity.

(D) General Nature and Purpose:

Determination of eligibility of applicants for federal job training programs, and compilation of statistical and demographic information required by the United States Department of Labor, the Connecticut General Assembly and the State Job Training Coordinating Council to measure program effectiveness.

(E) Title and Address of Official Responsible for the System of Records and To Whom

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Requests for Disclosure and Amendment of the Records in the System Should be Made:

Director, JTPA Administration

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Information:

(i) Applicant interviews

(ii) Periodic validation is accomplished through public welfare, education, health, and social service agencies.

(G) Legal Authority:

The Job Training Partnership Act (29 U.S.C. 1501 *et seq.*)

(2) Categories of Personal Data:

(A) Categories of personal data

Education, income, handicapped conditions, employment history, dependents, record of past criminal offenses.

(B) Categories of other data:

Name, address, telephone, sex, birthdate, citizenship, race/ethnic, Social Security number, public assistance receipt.

(C) Categories of persons for whom records are maintained:

(i) applicants for job training services

(ii) Enrollees in job training programs

(3) Uses to be made of personal data:

(A) Routine Use of Records

(i) Records are used in automated aggregate form to fulfill federal and public reporting requirements and to evaluate program effectiveness.

(ii) Records are used locally to screen applicants for eligibility and appropriateness.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(I) Job Training Partnership Act (JTPA) Advisory Councils

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

JTPA Monitoring Records

(B) Location of System:

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

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(C) Automated, manual or combination:

Manual

(D) General nature and purpose:

A list of members and the business affiliation of each.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, JTPA Administration

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine sources of information:

Supplied by members.

(G) Legal Authority:

The Job Training Partnership Act (29 U.S.C. 1501 *et. seq.*)

(2) Categories of Personal Data:

(A) Categories of personal data:

Employment/business

(B) Categories of other data:

(i) Name

(ii) Address

(iii) Employment/business address

(C) Categories of persons for whom records are maintained:

(i) Members of State Job Training Coordinating Council

(ii) Members of local Private Industry Councils

(3) Uses to be Made of Personal Data:

(A) To monitor membership composition of councils against representational mandates.

(B) Retention schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(m) **Job Training Partnership Act (JTPA) Complaints**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

JTPA Complaint Resolution System

(B) Location of system:

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

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(C) Automated, Manual or Combination:

Manual

(D) General nature and purpose:

Information file is developed to effect resolution to complaints filed with the JTPA Administration.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, JTPA Administration

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine sources of information:

Information is supplied by various parties to the complaint.

(G) Legal Authority:

The Job Training Partnership Act (29 U.S.C. 150 *et. seq.*)

(2) Categories of Personal Data:

(A) Categories of personal data:

Education, income, handicapping conditions, employment history, dependents, record of past criminal offenses.

(B) Categories of other data:

(i) Name

(ii) Address

(iii) Telephone

(iv) Sex

(v) Birthdate

(vi) Citizenship

(vii) Race/ethnic status

(viii) Social Security number

(ix) Public Assistance receipt

(C) Categories of persons for whom records are maintained:

(i) Applicants for job training services

(ii) Enrollees in job training programs

(3) Uses to be Made of Personal Data:

(A) Investigation and resolution of complaints.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

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(n) **Job Service: Comprehensive Employment and Training Act (CETA)**

(1) **General Nature and Purpose of Personal Data System:**

(A) Name of system:

Balance of State CETA Records.

(B) Location of system:

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) General nature and purpose:

To screen for program eligibility and appropriateness prior to statutory expiration of CETA (October 1, 1983).

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Connecticut Job Service

Connecticut Department of Labor

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine source of information:

Applicant interviews

(G) Legal Authority:

Comprehensive Employment and Training Act (29 U.S.C. 801 *et. seq.*)

(2) Categories of Personal Data:

(A) Categories of personal data:

(i) Education

(ii) Income

(iii) Handicapping conditions

(iv) Employment history

(v) Dependents

(vi) Record of past criminal offenses

(vii) Relationship to Government/CETA officials

(B) Categories of other data:

(i) Name

(ii) Address

(iii) Telephone number

(iv) Sex

(v) Birthdate

(vi) Citizenship

(vii) Race/ethnic status

(viii) Social Security number

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(ix) Public Assistance receipt

(C) Categories of persons for whom records are maintained: Enrollees in CETA training programs

(3) Uses to be Made of Personal Data:

(A) Response to personal inquiry and ongoing fiscal audits.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(o) **Unemployment Compensation Benefits Records**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Unemployment Compensation Benefit Records, including:

(i) Disaster Unemployment Assistance

(ii) Trade Readjustment Allowances

(iii) Unemployment Compensation for Federal Employees

(iv) Unemployment Compensation for Ex-Servicemen

(B) Location of System:

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose of Maintaining System:

To provide an official accounting of an individual's filing for unemployment compensation, including a record of any eligibility hearings held. These records make it possible to pay benefits to eligible individuals and to tax employers based on the claims chargeable to their accounts.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Unemployment Compensation

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Source of Data:

Routine sources of data include the claimants, their employers, their unions, other government agencies (e.g., the Social Security Administration, police departments, and other state employment security agencies), insurance carriers and physicians.

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(G) Legal Authority for Collection, Maintenance and Use:

Sections 31-222 through 31-274 of the Connecticut General Statutes, inclusive.

(2) Categories of Personal Data:

(A) The following categories of personal data are maintained in claimant unemployment compensation benefit records.

(i) Employer's quarterly reports of employees' wages.

(ii) Benefit payment filing history (including a record of child support payments deducted from unemployment compensation benefits, trade readjustment allowance payments, and disaster unemployment assistance payments)

(iii) Student status

(iv) Marital status

(v) Separation information from one or more former employers (which may include a record of severance, vacation or holiday payments)

(vi) Citizenship status

(B) The following categories of other personal data may be maintained in claimant unemployment records:

(i) Claimant's name

(ii) Date of Birth

(iii) Social Security number

(iv) Address

(v) Race and national origin

(vi) Telephone numbers

(vii) Spouse's Name

(viii) Dependent's name

(ix) Health Restrictions

(x) Pension and social security benefit information (including whether or not the individual participates in medicare)

(xi) Civil Service status

(xii) Employment status (e.g. full time or part-time) which may include the hours worked and the hourly rate of pay.

(xiii) Former job title

(xiv) Location at which work was performed for some employers

(xv) Self-employment information (which may include farm products raised and held primarily for sale for income)

(xvi) Information on an individual's eligibility to receive income protection, insurance payments, supplemental unemployment benefit payments

(xvii) Information about an individual's eligibility for a subsistence allowance for vocational rehabilitation or an educational assistance allowance under the War Orphans Educational Assistance Act.

(xviii) Income tax withholding information

(C) Categories of persons for whom records are maintained:

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(i) Individuals filing for unemployment compensation (including disaster unemployment assistance, trade readjustment allowance, federal employees' unemployment compensation, and unemployment compensation for ex-servicemen)

(ii) All employees of employers subject to chapter 567 of the Connecticut General Statutes

(3) Uses to be Made of Personal Data:

(A) The information gathered is used to determine an individual's eligibility for unemployment compensation benefits (as well as Disaster Unemployment Assistance and Trade Adjustment Assistance). The information is used for this purpose by the Administrator of Unemployment Compensation Act, the Employment Security Appeals Division and Board of Review, as well as state and federal courts.

(B) Benefit payment information is supplied to the Internal Revenue Service for income tax purposes.

(C) Wage record information is shared with other public employees in the performance of their public duties in accordance with Section 31-254 of the Connecticut General Statutes.

(4) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(p) **Unemployment Compensation Tax Records of Employers**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Employers' Unemployment Compensation Tax Records

(B) Location of System:

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose for maintaining System:

To provide an official record of unemployment compensation benefits chargeable to an employer's account for the purpose of either billing or taxing the employer in order to establish a fund from which benefits can be paid.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Unemployment Compensation

Connecticut State Labor Department

200 Folly Brook Boulevard

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(F) Source of Data:

Routine Sources of data include the employers themselves, the courts, individuals filing for unemployment compensation, and other government agencies (e.g. the Secretary of State's Office, Department of Motor Vehicles, and Department of Revenue Services)

(G) Legal Authority for collection, maintenance, and use:

Sections 31-222 through 31-274 of the Connecticut General Statutes, inclusive.

(2) Categories of Personal Data:

(A) The following categories of personal data are maintained, in Employer Unemployment Compensation Tax Records:

(i) A listing of a business's corporate officers or partners or proprietor

(ii) Address

(B) The following categories of other personal data may be maintained in employer unemployment compensation tax records:

(i) Social security number

(ii) Telephone number

(iii) Record of liens or garnishments

(iv) Bank account numbers

(v) Date of birth

(vi) Quarterly wage records

(C) Categories of persons for whom records are maintained:

(i) Corporate officers

(ii) Business partners

(iii) Business proprietors

(3) Uses To Be Made of Personal Data:

(A) Used in determining an employer's liability for unemployment compensation tax.

(B) Used in collecting unemployment compensation taxes due.

(C) Shared with other federal and state agencies as part of investigations initiated by those agencies.

(4) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(q) Appeals Hearings—Unemployment Compensation Program—Lower Authority

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Appeal Hearings—Unemployment Compensation Program—Referee Level Records

(B) Location of System:

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- (i) 401 Trumbull Street, Hartford, CT 06103
- (ii) 200 Folly Brook Blvd., Wethersfield, CT 06109
- (iii) 2 Cliff Street, Norwich, CT 06360
- (iv) 37 Marne Street, Hamden, CT 0651
- (v) 900 Madison Avenue (Room 218), Bridgeport, CT 06606
- (vi) 83 Prospect Street, Waterbury, CT 06702

(C) Automated, Manual or Combination:

Combination

(D) General Nature and Purpose:

Compilation and maintenance of an official record of the hearing before an Appeals Referee.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Chief Appeals Referee

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Data is received from the Administrator of the Unemployment Compensation Act and from the parties to appeals.

(G) Legal Authority:

Connecticut General Statutes Section 31-237a through 31-249f.

(2) Categories of Personal Data:

(A) Personal Data maintained may include the following:

The Unemployment Compensation Department's benefit eligibility determination, wage records, application for benefits, and benefit filing and payment history; last employment, reasons for unemployment, grounds for appeal; tape cassette of appeals proceedings.

(B) Categories of other data maintained may include the following:

Any evidentiary submission that is received into the record. The evidentiary submissions include but are not limited to medical documents; affidavits; warnings and prior disciplinary actions taken by the employer; pension information; written arguments; social security information; briefs; employment history; claimant's name, address and social security number; history and investigatory information regarding alleged failure to report earnings.

(C) Categories of persons for whom records are maintained:

Claimants and/or employers involved in a disputed claim for unemployment benefits or employer tax liability.

(3) Uses to be made of Personal Data.

(A) Routine use of records:

The Appeals Referee compiles the record in order to render a decision regarding a disputed claim for unemployment benefits or employer tax liability.

(B) Retention Schedule:

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Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(r) Appeals—Unemployment Compensation Program—Higher Authority

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Appeals Decisions—Unemployment Compensation Program—Board of Review Records

(B) Location of System:

Employment Security Board of Review Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) General Nature and Purpose:

Through use of the record before the Appeals Referee and any additional documents, written argument or hearing deemed necessary (either by the board itself or by the Referee on behalf of the Board) the Board shall affirm, modify or reverse the decision of the Appeals Referee or remand the case to the Referee for such further proceedings as the Board may direct.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Chairman, Employment Security Board of Review

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data retrieval:

Data received from the record compiled at the Referee level hearing and from submissions of the parties in support of and in opposition to the appeal

(G) Legal Authority:

Connecticut General Statutes Sections 31-237a through 31-249f

(2) Categories of Personal Data:

(A) Personal data maintained may include the following:

All testimony, evidence and submissions from the hearing before the Appeals Referee and appeal documents.

(B) Other data maintained may include the following:

Submissions which include but are not limited to motions to reopen, legal briefs, and testimony or evidence not included as part of the original record before the Referee (in instances where the Board conducts or orders an additional hearing or otherwise

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supplements the record).

(C) Categories of persons for whom records are maintained:

(i) Claimants and/or employers involved in an appeal from Referee's decision to the Board of Review.

(ii) Claimants and/or employers who are involved in an appeal from a Board of Review decision to the Superior Court.

(3) Uses to be made of Personal data:

(A) Routine use of records:

(i) Utilized by Chairman, Board members and other employees of the Board to decide appeals to the Board of Review from decisions of Appeals Referees.

(ii) On appeal to Superior Court a copy of the record is certified by the Board to the court.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(s) **Board of Labor Relations—Case Records**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Case Records in Prohibited Practice, Unfair Labor Practice, Representation and Declaratory Ruling Contested Cases.

(B) Location of System:

State Board of Labor Relations

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Combination or Manual:

Manual

(D) General Nature and Purpose:

(i) Active case records contain information gathered by agents and/or assistant agents, investigations and by formal hearings conducted by the Board. Needed for investigation, mediation, settlement, administrative adjudication and/or court litigation of prohibited practice, unfair labor practice, representation and declaratory ruling cases.

(ii) Closed Case Records contain information gathered by Agent's or assistant agents' investigations and by formal hearings conducted by the Board and/or generated by court litigation. Needed for future related cases which might arise between the same parties.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

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Board Agent, Board of Labor Relations

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Agents, assistant agents, participants at hearings

(G) Legal Authority:

Sections 5-270 to 5-280, Sections 7-460 to 7-479, Sections 10-153a to 10-156d and Sections 31-101 to 31-111b of the General Statutes.

(2) Categories of Personal Data:

(A) Personal Data maintained may include the following:

(i) Employment history

(ii) Transcript of hearings

(iii) Briefs

(iv) Reply briefs

(B) Other Data maintained may include the following:

(i) Employee names

(ii) Employee histories

(iii) Social Security numbers

(iv) Employer names

(C) Categories of persons for whom records are maintained:

Employers and employees participating in proceedings before the Board of Labor Relations.

(3) Uses to be made of Personal Data:

(A) Personal data is used by the Agent, Assistant Agent, Board Members and General Counsel for the purposes stated in subdivision (1) (D) of this subsection. Decisions are distributed regularly and systematically to the general public. Case files (closed and active) and made available to the general public, unless disclosure is prohibited by law.

(B) Record Retention:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(t) **Board of Labor Relations—Administrative and Mailing Address Files**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Administrative and Mailing Address Records

(B) Location of System:

State Board of Labor Relations

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Connecticut Labor Department 200 Folly Brook Boulevard
Wethersfield, CT 06109

(C) Automated, Combination or Manual:
Manual

(D) General Nature and Purpose of System:

(i) Administrative files relating to Board members, including appointment and reappointment letters and copies of vouchers for per diem payments.

(ii) Mailing address files are utilized for proper routing of correspondence to unions, employers and attorneys having frequent dealings with the Board.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Board Agent, Board of Labor Relations

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

(i) Board members

(ii) Unions, Employers, Attorneys

(G) Legal Authority for Collection, Maintenance and Use:

(i) Board Member administrative files—Section 31-102 of the General Statutes

(ii) Mailing Address files:

Sections 5-270 to 5-280, Sections 7-460 to 7-479

Sections 10-153a to 10-156d and Sections 31-101 to 31-111b of the General Statutes.

(2) Categories of Personal Data:

(A) Personal Data maintained may include the following:

(i) Agency correspondence

(ii) Telephone records

(iii) Board member appointment and reappointment letters

(iv) Board members' payment vouchers

(B) Other data maintained may include:

Names, addresses and telephone numbers of Board members, and employers, union officials and attorneys dealing frequently with the Board.

(C) Categories of persons for whom records are maintained:

(i) Board members

(ii) Employers, unions and attorneys dealing frequently with the Board

(3) Uses to be made of Personal Data:

(A) Personal data is used by the Agent, Assistant Agents, Board Members and General Counsel for the purposes stated in subdivision (1) (D) of this subsection.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules

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approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(u) **Board of Mediation and Arbitration**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Case Records—Board of Mediation and Arbitration, arbitration/awards and Fact-Finding Reports

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) General Nature and Purpose:

(i) Active case records contain information gathered by arbitrators, fact-finders and mediators by investigations and/or formal hearings. Needed for investigation, mediation, settlement, administrative adjudication and/or court litigation of grievance arbitration, interest arbitration, fact-finding and mediation cases.

(ii) Closed case records are retained for use in future related cases which may arise between the same parties

(iii) Grievance arbitration awards, fact-finding reports and interest arbitration awards contain information obtained from participants at formal hearings and are needed for guidance of parties and arbitrators in future cases.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Board Administrator

Board of Mediation and Arbitration

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Arbitrators, mediators, fact-finders, investigations, participants at formal hearings.

(G) Legal Authority for Collection, Maintenance and Use:

Section 31-91 to 31-100 of the General Statutes

(2) Categories of Personal Data:

(A) Personal data maintained may include the following:

(i) Employment histories

(ii) Employer names

(B) Other data maintained may include:

(i) Employee name

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(ii) Social security numbers

(C) Categories of persons for whom records are maintained:

Employers and employees participating in proceedings before the Board of Mediation and Arbitration

(3) Use to be made of Personal Data:

(A) Routine use of records

Personal data is used by employees of the Board of Mediation and Arbitration, mediators, arbitrators and fact-finders for the purposes stated in subdivision (1) (d) of this subsection.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention Schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(v) **Board of Mediation and Arbitration—Administrative and Mailing Address files**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Administrative and Mailing Address Records

(B) Location of System:

Board of Mediation and Arbitration

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Combination or Manual:

Combination

(D) General Nature and Purpose:

(i) Administrative files relating to Board members, including records of appointments and payments.

(ii) Mailing address files are utilized for proper routing of correspondence to unions, employers and attorneys having frequent dealings with the Board.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Board Administrator

Board of Mediation and Arbitration

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

(i) Board members

(ii) Unions, employers, attorneys

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(G) Legal Authority for Collection, Maintenance and Use:

Section 31-91 to 31-100 of the General Statutes

(2) Categories of Personal Data:

(A) Personal data maintained may include the following:

(i) Agency correspondence

(ii) Telephone records

(iii) Board member appointment and reappointment letters

(iv) Board Members' payment vouchers

(B) Other data maintained may include:

Names, addresses and telephone numbers of Board members and employers, union officials and attorneys dealing frequently with the Board.

(C) Categories of persons for whom records are maintained:

(i) Board members

(ii) Employers, unions and attorneys dealing frequently with the Board

(3) Uses to be made of Personal Data:

(A) Personal data is maintained by employees of the Board of Mediation and Arbitration, mediators, arbitrators and fact-finders for the purposes stated in subdivision (1) (D) of this subsection.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(w) **Regulation of Wages**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Regulation of Wages Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) General Nature or Purpose:

Records are maintained of wage and hour investigations, non-payment of wage investigations and prevailing wage investigations of state and municipal public works projects for the purpose of providing information relating to compliance by employers with all wage and hour payment and prevailing wage rate laws.

(E) Title and Address of Official Responsible for the System of Records and To Whom

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Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director of Regulation of Wages

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Personal Data:

Employees and employers.

(G) Legal Authority for Collection, Maintenance and Use:

Sections 31-59 through 31-76a of the Connecticut General Statutes.

(2) Categories of Personal Data:

(A) The following categories of personal data are maintained:

(i) Business history

(ii) Employee history

(B) The following categories of other data may be maintained:

(i) Names of employers and employees

(ii) Addresses of employer and employees

(iii) Telephone numbers of employers and employees

(iv) Social Security numbers of employers and employees

(C) Categories of persons for whom records are maintained:

(i) Employers

(ii) Employees

(3) Uses to be made of the Personal Data:

(A) The entire staff of the Regulation of Wages Division uses the personal data for the purposes stated in subdivision (1) (D) of this subsection.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(x) **Office of Job Training and Skill Development—Apprentice Registration**

(1) General Nature and Purpose of Personal Data/System:

(A) Name of System:

Apprentice Registration Records

(B) Location of System:

Office of Job Training and Skill Development

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

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(D) General Nature and Purpose:

Apprentice Registration records are maintained for the purpose of keeping a record of sponsors and apprentices.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director, Office of Job Training and Skill Development

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine sources of data:

Apprentice, sponsor, trainer, school

(G) Legal Authority for Collection, Maintenance and Use:

Sections 31-51a through 31-51e of the General Statutes inclusive.

(2) Categories of Personal Data:

(A) Personal data maintained may include the following:

(i) Educational record

(ii) Parent or guardian

(iii) Trade experience credit

(iv) Training history

(v) Apprentice history

(vi) Veteran status

(B) Other data maintained may include the following:

(i) Names

(ii) Addresses

(iii) Date of birth

(iv) Sex

(v) Race

(vi) Social Security number

(C) Categories of persons for whom records are maintained: Apprentices, sponsors, trainers

(3) Use to be made of Personal Data:

(A) All employees assigned to the Office of Job Training and Skill Development use the personal data for the purposes stated in subdivision (1) (D) of this subsection.

(B) Record Retention:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

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(y) **Occupational Safety and Health (CONN-OSHA)**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

CONN-OSHA Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) General Nature and Purpose:

CONN-OSHA records are maintained for the purpose of retaining names and locations of safety and health inspections, consultations, education and training records, complaints, accidents, catastrophe-fatalities investigations, record keeping, statistics for the betterment of the program.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director of CONN-OSHA/Working Conditions

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Personal Data:

Employees, unions, employers, management officials of municipalities, commissioners of state agencies, commissions.

(G) Legal Authority for Collection, Maintenance:

Section 31-374 of the Connecticut General Statutes.

(2) Categories of Personal Data:

(A) The following categories of personal data may be maintained in the CONN-OSHA records:

(i) Inspection records

(ii) Records of complaints

(iii) Establishment inspection history

(iv) Consultation history

(v) Review commission decisions

(vi) Correspondence from management officials

(vii) Statements from employees

(B) The following categories of other data may be maintained in the CONN-OSHA records:

(i) Name

(ii) Address—business and residence

(iii) Telephone number

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(iv) Occupation

(C) Categories of persons for whom records are maintained:

(i) Employers

(ii) Employees

(3) Use to be made of the Personal Data:

(A) OSHA records may be used by the Director, Assistant Director, Secretary, Investigators, Consultants and Staff Assistants for the purposes stated in subdivision (1) (D) of this subsection.

(B) OSHA records may be used for keeping a record of employers' inspection histories, names of witnesses and employees to substantiate alleged hazards documented by inspectors, names and locations of consultations, and in order to keep a record of those attending training sessions.

(C) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(z) **Working Conditions Records**

(1) General Nature and Purpose of Personal Data:

(A) Name of System:

Working Conditions Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) General Nature and Purpose:

Working conditions records are maintained to comply with State statutes in determining an individual's qualifications to operate a private employment agency; to ensure that industrial commercial establishments that operate health facilities for employees provide for reasonable standards of health, safety and comfort for the employees utilizing the facility; inspection of locations and observations of establishments concerned with the employment of minors; complaint investigations and reports relating to General Statutes concerning working conditions.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Director of CONN-OSHA/Working Conditions

Connecticut Labor Department

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200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Employment agencies; corporations; law enforcement agencies; schools and establishments employing minors.

(G) Legal Authority for Collection, Maintenance and Use:

Sections 31-129 to 31-134, 31-14 to 31-18, 31-23, 31-51, 31-71 (f) of the General Statutes.

(2) Categories of Personal Data:

(A) Personal data maintained may include the following:

- (i) Affidavits of character
 - (ii) Application for private employment agency license
 - (iii) Fingerprint card
 - (iv) Arrest information
 - (v) Bonding information
 - (vi) Investigations and reports relating to the General Statutes
 - (vii) Job applications
 - (viii) Previous employment histories
- (B) Other data maintained may include the following:
- (i) Name
 - (ii) Address
 - (iii) Date of birth
 - (iv) Sex
 - (v) Race
 - (vi) Occupation
 - (vii) Social security number
 - (viii) Telephone number
 - (ix) Marital status

(C) Categories of persons for whom records are maintained: Employers and employees

(3) Uses to be made of Personal Data:

(A) Working Conditions records may be used by the Director, Assistant Director, Secretary, Investigator and Staff Assistants for evaluating the qualifications of those applying for licensing or private employment agencies, to process reports and forms as required, keeping an account of investigations of complaints which do not fall under the aegis of OSHA, Regulations of Wages, Labor Relations or Mediation and Arbitration.

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working

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hours.

(aa) **Business Records—Payroll**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Payroll Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

(i) Preparing and providing a history of payroll

(ii) Budgeting and personnel planning and evaluation

(iii) Cost accounting

(iv) Reporting—State and Federal

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Chief Fiscal Officer

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Employee, previous employers of the employee, the employee's supervisor, attendance sheets, contracts, the Comptroller's Office, Department of Administrative Services, Division of Personnel and Labor Relations, & State insurance carriers

(G) Legal Authority:

State Personnel Act (Connecticut General Statutes Section 5-193 et seq.)

(2) Categories of Personal Data:

(A) Categories of Personal Data

(i) Financial information such as longevity payments, compensation plan, payroll and deductions

(ii) Employment information such as starting date, attendance information, vacation, sick and personal leave days accrued and used, title of position

(B) Categories of Other Data:

Name, address, employee number, social security number, date of birth, telephone number, marital status, insurance and retirement information, salary records, job class and bargaining unit, military service, garnishment of wages and payments related to garnishments, contracts, correspondence regarding deferred compensation/tax shelter annuity payroll deduction programs

(C) Categories of persons for whom records are maintained:

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All current and former Labor Department employees

(3) Uses to be made of Personal Data:

(A) Routine Use of Records:

(i) Plan payroll and calculate budgets

(ii) Process promotions, reclassifications, transfers to another state agency and retirement

(iii) Assist in evaluation performance and other personnel functions

(iv) Maintain personnel documents required by the State Personnel Division, Office of the Comptroller, Group Insurance Carriers, and any other legitimate entity

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(bb) **Business Records—Accounts Payable/Purchasing**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Accounts Payable/Purchasing Records

(B) Location of System:

Connecticut Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Manual

(D) Purpose:

(i) Process employee travel reimbursement

(ii) Process payment to vendors for services

(iii) Payment of monthly rents and any contractual services

(iv) Purchasing

(E) Title and Business Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Chief Fiscal Officer

Connecticut Labor Department

200 Folly Brook Blvd.

Wethersfield, CT 06109

(F) Routine Sources of Data:

Employee, vendors, contracts

(G) Legal Authority for collection, maintenance and use:

Section 3-112, Section 3-114, Section 4-109 through 4-124 inclusive, Section 31-237 (b),

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Section 31-250 and Section 31-259 of the General Statutes.

(2) Categories of Personal Data:

(A) Categories of Personal Data

(i) Automobile insurance information

(ii) Vendor information

(iii) Lease Agreements reflecting financial information on property costs

(B) Categories of Other Data:

Names of insurance companies, employees, vendors and their addresses, amount and dates of coverage, Federal identification numbers, social security numbers, job class & bargaining unit, class codes, telephone numbers, complaints regarding a vendor's service and/or delivery, bidding data

(C) Categories of Persons for whom records are maintained: Current and former Labor Department employees, vendors, landlords

(3) Uses to be made of Personal Data

(A) Routine Use of Records:

(i) Process employee travel reimbursement

(ii) Process payment to vendors for services

(iii) Pay monthly rents and any contractual services to vendors that are stated in the lease agreement

(iv) Maintain documents required by State Personnel Division, Office of the Comptroller, and any other legitimate entity

(v) Purchasing

(B) Retention Schedule:

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrator as authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(cc) **Personnel Records**

(1) General Nature and Purpose of Personal Data System:

(A) Name of System:

Personnel Records

(B) Location of System:

Connecticut Labor Department

Personnel Services

200 Folly Brook Boulevard

Wethersfield, CT 06109

(C) Automated, Manual or Combination:

Combination

(D) Purpose:

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Department of Labor

Personnel records are maintained for the purpose of retaining payroll, health, discipline and related personnel information concerning the Connecticut State Labor Department's employees.

(E) Title and Address of Official Responsible for the System of Records and To Whom Requests for Disclosure or Amendment of the Records in the System Should be Made:

Personnel Administrator

Connecticut State Labor Department

200 Folly Brook Boulevard

Wethersfield, CT 06109

(F) Routine Sources of Data:

Routine sources for information retained in personnel records generally include the employee, previous employers of the employee, references provided by applicants, the employee's supervisor, the Comptroller's Office, Department of Administrative Services, Division of Personnel and Labor Relations, and State insurance carriers.

(G) Legal Authority:

Personal data in personnel records is collected, maintained and used under authority of the State Personnel Act, Connecticut General Statutes No. 5-193 *et seq.*

(2) Categories of Personal Data:

(A) Categories of personal data

(i) Medical or emotional condition or history

(ii) Criminal or police investigative records

(iii) Investigative records from other jurisdictions

(iv) Personal Data record sheets that are reviewed and updated periodically by individual employees

(B) Categories of other data:

(i) Addresses

(ii) Telephone numbers

(iii) Educational records

(iv) Social Security numbers

(v) Employment records

(vi) Marital status

(vii) Insurance and retirement information

(viii) Date of birth

(ix) Salary records

(x) Other reference records

(C) Categories of Persons for Whom Records are Maintained:

Personnel records are maintained on current and former employees of the Connecticut State Labor Department and applicants for employment with the Connecticut State Labor Department.

(3) Uses to be Made of Personal Data:

(A) Routine Use of Records

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Employees of the Connecticut State Labor Department who are assigned personnel and payroll responsibilities use the personal data contained in the department's personnel records in processing promotions, reclassifications, transfers to another agency, retirement, and other personnel actions. Supervisors use the personal data when promotion, career counseling, or disciplinary action against such employee is contemplated, and for other employment-related purposes.

(B) Retention Schedule

Records are maintained in accordance with schedules prepared by the Connecticut State Library, Department of Public Records Administration and records retention schedules approved by the Public Records Administrators authorized by Section 11-8a of the C.G.S. Retention schedules are on file at the Connecticut Labor Department, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109 and may be examined during normal working hours.

(Effective July 1, 1988)

Sec. 31-250-3. Maintenance of personal data—general

(a) Personal data will not be maintained by the Connecticut State Labor Department unless relevant and necessary to accomplish the lawful purpose of the agency. Where the agency finds irrelevant or unnecessary public records in its possession, the agency shall dispose of the records in accordance with its records retention schedule, and with the approval of the Public Records Administrator as per C.G.S. Section 11-8a, or if the records are not disposable under the records retention schedule, request permission from the Public Records Administrator to dispose of the records under Connecticut General Statutes Section 11-8a.

(b) The Connecticut State Labor Department will collect and maintain all records with accurateness and completeness.

(c) Insofar as it is consistent with the needs and mission of the Connecticut State Labor Department, the Agency, wherever practical, shall collect personal data directly from the persons to whom a record pertains.

(d) Employees of the Connecticut State Labor Department involved in the operations of the agency's personal data systems will be informed of the provisions of the (i) Personal Data Act, (ii) the agency's regulations adopted pursuant to Section 4-196, (iii) the Freedom of Information Act and (iv) any other state or federal statutes or regulations concerning maintenance or disclosure of personal data kept by the agency.

(e) All employees of the Connecticut State Labor Department shall take reasonable precautions to protect personal data under their custody from the danger of fire, theft, flood, natural disaster and other physical threats.

(f) The Connecticut State Labor Department shall incorporate by reference the provisions of the Personal Data Act and regulations promulgated thereunder in all contracts, agreements or licenses for the operation of a personal data system or for research, evaluation and reporting of personal data for the agency or on its behalf.

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(g) The Connecticut State Labor Department shall have an independent obligation to insure that personal data requested from any other state agency is properly maintained.

(h) Only employees of the Connecticut State Labor Department who have a specific need to review personal data records for lawful purposes of the agency will be entitled to access to such records under the Personal Data Act.

(i) The Connecticut State Labor Department will keep a written up-to-date list of individuals entitled to access to each of the agency's personal data systems.

(j) The Connecticut State Labor Department will insure against unnecessary duplication of personal data records. In the event it is necessary to send personal data through interdepartment mail, such records will be sent in envelopes or boxes sealed and marked "confidential."

(k) The Connecticut State Labor Department will insure that all records in manual personal data systems are kept under lock and key and, to the greatest extent practical, are kept in controlled access areas.

(Effective July 1, 1988)

Sec. 31-250-4. Maintenance of personal data—automated systems

(a) To the greatest extent practical, automated equipment and records shall be located in a limited access area.

(b) To the greatest extent practical, the Connecticut State Labor Department shall require visitors to such limited access area to sign a visitor's log and permit access to said area on a bona-fide need-to-enter basis only.

(c) To the greatest extent practical, the Connecticut State Labor Department will insure that regular access to automated equipment is limited to operations personnel.

(d) The Connecticut State Labor Department shall utilize appropriate access control mechanisms to prevent disclosure of personal data to unauthorized individuals.

(Effective July 1, 1988)

Sec. 31-250-5. Maintenance of personal data—disclosure

(a) Within four business days of receipt of a written request therefore, the Connecticut State Labor Department shall mail or deliver to the requesting individual a written response in plain language, informing him or her as to whether or not the Agency maintains personal data on that individual, the category and location of the personal data maintained on that individual, and procedures available to review the records.

(b) Except where non-disclosure is required or specifically permitted by law, the Connecticut State Labor Department shall disclose to any person upon written request all personal data concerning that individual which is maintained by the Agency. The procedures for disclosure shall be in accordance with Connecticut General Statutes Sections 1-15 through 1-21k. If the personal data is maintained in coded form, the Agency shall transcribe the data into a commonly understandable form before disclosure.

(c) The Connecticut State Labor Department is responsible for verifying the identity of

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any person requesting access to his/her own personal data.

(d) The Connecticut State Labor Department is responsible for ensuring that disclosure made pursuant to the Personal Data Act is conducted so as not to disclose any personal data concerning persons other than the person requesting the information.

(e) The Connecticut State Labor Department may refuse to disclose to a person medical, psychiatric or psychological data regarding that person if the Department determines that such disclosure would be detrimental to that person. In any case where the Department refuses disclosure, it shall advise the person of his or her right to seek judicial relief pursuant to the Personal Data Act.

(f) If the Connecticut State Labor Department refuses to disclose medical, psychiatric or psychological data to a person based on its determination that disclosure would be detrimental to that person and nondisclosure is not mandated by law, the Department shall, at the written request of such person, permit a qualified medical doctor to review the personal data contained in the person's records to determine if the personal data should be disclosed. If disclosure is recommended by the person's medical doctor, the Department shall disclose the personal data to such person; if nondisclosure is recommended by such person's medical doctor, the Department shall not disclose the personal data and shall inform such person of the judicial relief provided under the Personal Data Act.

(g) The Connecticut State Labor Department shall maintain a complete log of each person, individual, agency or organization who has obtained access to, or to whom disclosure has been made of, personal data under the Personal Data Act, together with the reason for each such disclosure or access. This log must be maintained for not less than five years from the date of such disclosure or access, or for the life of the personal data record, whichever is longer.

(Effective July 1, 1988)

Sec. 31-250-6. Contesting the content of personal data records

(a) Any person who believes that the Connecticut State Labor Department is maintaining inaccurate, incomplete or irrelevant personal data concerning him or her may file a written request with the Department for correction of said personal data.

(b) Within thirty days of receipt of such request, the Connecticut State Labor Department shall give written notice to that person that it will make the requested correction, or if the correction is not to be made as submitted, the Department shall state the reason for its denial of such request and notify the person of his or her right to add his or her own statement to his or her personal data records.

(c) Following such denial by the Connecticut State Labor Department, the person requesting such correction shall be permitted to add a statement to his or her personal data record setting forth what that person believes to be an accurate, complete and relevant version of the personal data in question. Such statements shall become a permanent part of the Department's personal data system and shall be disclosed to any individual, agency or

organization to which the disputed personal data is disclosed.

(Effective July 1, 1988)

Sec. 31-250-7. Uses to be made of personal data—general disclosure to individuals from whom personal data is requested

When an individual is asked to supply personal data to the Connecticut State Labor Department, the Department shall disclose to that individual, upon request, the name of the agency and the division within the agency which is requesting the data, the legal authority under which the agency is empowered to collect and maintain the personal data, the individual's rights pertaining to such records under the Personal Data Act and the agency's regulations, the known consequences arising from supplying or refusing to supply the requested personal data, and the proposed use to be made of the requested personal data.

(Effective July 1, 1988)

**Requirements and Administrative Procedures for a Voluntary Shared Work
Unemployment Compensation Pilot Program**

Sec. 31-250-8. Definitions

For purposes of Sections 31-250-8 to 31-250-12, inclusive, of the Regulations of Connecticut State Agencies, the following definitions apply:

(a) "Administrator" means the Labor Commissioner of the state of Connecticut, whose mailing address is 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109, or the Administrator's designee.

(b) "Affected unit" means a specific department, shift or other unit of two or more employees that is designated by an employer to participate in a shared work plan.

(c) "Fringe benefits" means health insurance, retirement benefits received under a pension plan, paid vacation days, paid holidays, sick leave and any other employee benefit that is provided by an employer.

(d) "Normal weekly hours of work" means the usual hours of work for full-time or part-time employees in the affected unit when that unit is operating on its regular basis, not to exceed forty (40) hours and not including hours of overtime work.

(e) "Participating employee" means an employee who works a reduced number of hours under a shared work plan.

(f) "Participating employer" means an employer who has a shared work plan in effect.

(g) "Seasonal" means an employer who has a work base that is attached or dependent upon a particular time of year on an annual basis.

(h) "Shared work benefit" means an unemployment compensation benefit that is payable by the Administrator to an individual in an affected unit because the individual works a reduced number of hours under an approved shared work plan, as distinguished from the unemployment benefits otherwise payable under the unemployment compensation provisions of Chapter 567 of the Connecticut General Statutes.

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(i) “Shared work plan” means a plan submitted by an employer, for approval by the Administrator, under which the employer requests the payment of short-time compensation to workers in an affected unit of the employer to avert layoffs. “Shared work plan” includes a short-time compensation plan.

(j) “Shared work unemployment compensation program” means a program designed to reduce unemployment and stabilize the work force by allowing certain employees to collect unemployment compensation benefits if the employees share the work remaining after a reduction in the total number of hours of work and a corresponding reduction in wages.

(k) “Unemployment compensation” means any unemployment benefits administered by the Administrator under Chapter 567 of the Connecticut General Statutes or pursuant to federal law, under agreement with the U.S. Department of Labor, including, but not limited to Extended Benefits, Unemployment Compensation for Federal Employees (UCFE), Unemployment Compensation for Ex-Servicemen (UCX), Trade Readjustment Allowances (TRA), Disaster Unemployment Assistance (DUA) and Emergency Unemployment Compensation (EUC).

(Effective December 18, 1992; Amended June 6, 2014)

Sec. 31-250-9. Application for shared work

An employer seeking to participate in a shared work unemployment compensation program, also known as a short-time compensation program as set forth in the Middle Class Tax Relief and Job Creation Act of 2012, Public Law 112-96, shall submit a signed written shared work plan to the Administrator for approval. As a condition of approval, a participating employer shall agree to furnish the Administrator with such reports relating to the operation of the shared work plan as the Administrator may request. The participating employer shall monitor and evaluate the operation of the established shared work plan as directed by the Administrator.

(Effective December 18, 1992; Amended June 6, 2014)

Sec. 31-250-10. Criteria for shared work plan

The Administrator may approve a shared work plan based upon compliance with the following conditions:

- (a) The shared work plan applies to and identifies a specific affected unit.
- (b) Those employees within the affected unit who have been designated as shared work plan participants are identified by name and social security number.
- (c) Prior to July 1, 2014, the shared work plan reduces the normal weekly hours of work for the participating employees in the affected unit by not less than twenty (20) percent nor more than forty (40) percent. For shared work plans effective on or after July 1, 2014, the shared work plan reduces the normal weekly hours of work for the participating employees in the affected unit by not less than ten (10) percent nor more than sixty (60) percent.
- (d) The shared work plan shall state that: (1) fringe benefits will continue to be provided to employees in affected units as though their normal weekly hours of work had not been

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reduced, and (2) service credits toward seniority shall accrue during the operation of the shared work plan at a rate at least commensurate with the amount of reduced hours actually worked.

(e) The participating employer certifies that the implementation of a shared work plan and the resulting reduction in work hours are in lieu of layoffs that would affect at least ten (10) percent of all employees in the affected unit and would otherwise result in an equivalent reduction in work hours.

(f) The participating employer has filed all reports required to be submitted pursuant to Sections 31-250-8 to 31-250-12, inclusive, of the Regulations of Connecticut State Agencies and either (1) has paid all contributions due for all past and current contribution periods or (2) has made all payments in lieu of contributions due for all past and current payments in lieu of contributions periods as required under sections 31-225 and 31-225a of the Connecticut General Statutes.

(g) The participating employer certifies that participation in the shared work plan and its implementation is consistent with the employer's obligations under applicable federal and state laws.

(h) If any of the participating employees under a shared work plan are covered by a collective bargaining agreement, the shared work plan must be approved in writing by the participating employees' collective bargaining representative. In the absence of any bargaining representative, the plan must contain a certification by the employer that such employer has made the proposed plan, or a summary thereof, available to each employee in the affected group for inspection and comment for a period of at least seven (7) days, and copies of the memorandum to the employees and any comments received must be attached.

(i) A shared work plan applies to full-time and part-time permanent employees and is not implemented to subsidize seasonal employers during any off-season period.

(Effective December 18, 1992; Amended June 6, 2014)

Sec. 31-250-11. Eligibility for shared work compensation

(a) An individual is eligible to receive shared work benefits with respect to any week in which the Administrator finds that:

(1) The individual is a participating employee in an affected unit subject to a shared work plan that was approved before the week in question and is in effect for that week;

(2) The individual is able to work and is available for additional hours of work or full-time work with the participating employer;

(3) For shared work plans effective prior to July 1, 2014, the individual's normal weekly hours of work have been reduced by at least twenty (20) percent but not more than forty (40) percent, with a corresponding reduction in wages. For shared work plans effective on or after July 1, 2014, the individual's normal weekly hours of work have been reduced by at least ten (10) percent but not more than sixty (60) percent, with a corresponding reduction in wages; and

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(4) Notwithstanding any other provisions of these regulations relating to availability for work and actively seeking work, the individual is available for the individual's normal hours of work with the participating employer, which may include, for purposes of this section, participating in training to enhance job skills that is approved by the Administrator such as employer-sponsored training or training funded under the federal Workforce Investment Act of 1998.

(b) An individual who is eligible for shared work benefits shall be exempt from the work search requirements contained in Section 31-235 (a) of the Connecticut General Statutes and Sections 31-235-22 and 31-235-23 of the Regulations of Connecticut State Agencies. In addition, an individual eligible for shared work benefits shall not be subject to the provisions of Section 31-229 of the Connecticut General Statutes relating to partial unemployment benefits. Wages from other than the shared work employer shall be disregarded in the calculation of the shared work benefit.

(c) For certified weekly claims effective prior to the week ending July 5, 2014, an individual who is eligible for shared work benefits shall not be eligible to receive a dependency allowance. For certified weekly claims effective on or after the week ending July 5, 2014, an individual who is eligible for shared work benefits shall be eligible to receive a dependency allowance.

(d) The Administrator shall not pay shared work benefits to an individual for any week in which the individual performs work for the participating employer in excess of the reduced hours established under the shared work plan, unless there is a corresponding modification to the plan pursuant to subsection (b) of Section 31-250-12 of the Regulations of Connecticut State Agencies.

(e) No individual shall receive shared work benefits and regular unemployment compensation benefits in an amount that exceeds the maximum total benefits payable to the claimant in a benefit year in accordance with Section 31-231b of the Connecticut General Statutes.

(f) An individual who has received all of the shared work benefits and regular unemployment compensation benefits available to such individual in a benefit year is an exhaustee for purposes of Sections 31-232b to 31-232k, inclusive, of the Connecticut General Statutes and is entitled to receive extended benefits under such sections, provided the claimant is otherwise eligible for such benefits.

(g) If an individual who is eligible to receive shared work benefits has a prior overpayment which is still outstanding, the Administrator shall offset such overpayment from shared work benefits in accordance with Section 31-273 of the Connecticut General Statutes.

(h) If an individual who is eligible to receive shared work benefits has been identified as having outstanding child support obligations, the Administrator shall reduce shared work benefits in accordance with Section 31-227 (h) of the Connecticut General Statutes.

(Effective December 18, 1992; Amended June 6, 2014; Amended November 5, 2020)

Sec. 31-250-12. Program administration

(a) The Administrator will approve or deny a shared work plan, in writing, no later than thirty (30) days after the date the shared work plan is received by the Administrator. If the Administrator denies a shared work plan, the Administrator will specify the reasons for the denial. The reasons for rejection shall be final and not subject to appeal. If rejected, the employer may submit an amended plan for approval not earlier than seven (7) days after the date of the rejection. A shared work plan shall be effective on the date it is approved by the Administrator and shall expire at the end of the twenty-sixth (26th) week after the effective date of the shared work plan. Such plan may be renewed for up to an additional twenty-six (26) weeks.

(b) An approved shared work plan may be modified after it has become operational by the employer with the acquiescence of employee representatives if, in the opinion of the Administrator, the modification is not substantial and is consistent with the purpose of the original shared work plan. The Administrator shall approve or disapprove such modifications, without changing the expiration date of the original plan. The disapproval of a modification shall be final and not subject to appeal. Where a requested modification is substantial, the employer may request that the Administrator terminate the existing plan and consider the employer's application for a new plan.

(c) The Administrator may revoke approval of a plan for good cause. The revocation order shall be in writing and shall specify the date the revocation is effective and the reasons therefor. Good cause shall include, but not be limited to, failure to comply with the assurances given in the plan, unreasonable revision of productivity standards for the affected unit, conduct or occurrences tending to defeat the intent and effective operation of the plan, and violation of any criteria upon which approval of the plan was based. Any revocation shall be final and shall not be subject to appeal.

(d) The Administrator shall pay to an individual who is eligible for shared work benefits a weekly amount equal to the individual's regular weekly benefit rate for a period of total unemployment as provided in Section 31-228 of the Connecticut General Statutes, multiplied by the nearest full percentage of the reduction of the individual's hours as set forth in the employer's shared work plan. If the shared benefit amount is not a multiple of one dollar, the Administrator shall reduce the amount to the next lowest multiple of one dollar. All shared work benefits shall be payable from the unemployment compensation fund established pursuant to Section 31-261 of the Connecticut General Statutes.

(e) An employer's chargeability under a shared work plan will be subject to the provisions of Section 31-225a of the Connecticut General Statutes. Employers liable for payments in lieu of contributions in accordance with section 31-225 of the Connecticut General Statutes shall have shared work benefits attributed to service in their employ in the same manner as unemployment compensation is attributed.

(f) An individual who does not work during a week for the shared work employer and who is otherwise eligible for benefits shall be paid regular unemployment benefits and the

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week shall not be counted as a week for which shared work benefits were received.

(Effective December 18, 1992; Amended June 6, 2014)